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STARS MANUAL

TABLE AND FILE PURGES

INTRODUCTION

This chapter will explain the process for purging, or archiving, the information in the STARS financial files and tables. You will also be provided the criteria used for purging each of the files and the timing of when the processes are completed. You will also learn what the most common problems are and how you can correct them.

The STARS files that are purged periodically are the Appropriation, Allocation, Document, General Ledger, Subsidiary, Grant, Project, Vendor Payment, Warrant Control, Warrant Detail, and History. In conjunction with purging the financial data certain tables are also purged. Those tables are the Grant Control, and Project Control.

The tables that are purged separately are the Index, PCA, Budget Unit, Organization Control, the Vendor Edit and Batch Log.

CURRENT REVISIONS LOG

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AGENCY SPECIFIC FINANCIAL FILE PURGES

You can use the grant and project files and tables for collecting information for a variety of reasons. Also, the data may relate to any period of time that you have determined. While certain aspects of this information are used for statewide purposes, those components are stored in other files, such as the Operating file. Therefore, you are in control of when you would like the financial and related tables purged for grants and projects.

STATEWIDE FINANCIAL FILE PURGES

The data accumulated in the Appropriation, Allocation, Document, General Ledger, Subsidiary, Vendor Payment, Warrant Control, Warrant Detail, and History files are used not only by you,

but also for statewide purposes. Because of this, the State Controller maintains control over these file purges.

TABLE PURGES

The tables that are purged separately from the Grant Control and Project Control are the Index, PCA, Budget Unit, Organization Control, Vendor Edit and the Batch Log. The Grant Control and Project Control Tables are purged as part of the file purge process.

WHEN DO WE PURGE?

The Appropriation, Allocation, Document, General Ledger, Subsidiary, Grant, Project, Vendor Payment, Warrant Control, Warrant Detail, and History files all have their own special purposes and so the time period for needing ready access to the information is different for some files. Also, the amount of data posted to each file varies significantly. Because of these factors there are different periods of time that the purged data is for and different points of time when the individual processes are performed. The Appropriation, Allocation, Document, General Ledger, Subsidiary, and Vendor Payment files are purged annually as part of fiscal year end processing. The Warrant Control, Warrant Detail files are archived monthly. The History file and Batch Log are archived on a monthly basis.

Some files are purged annually as part of the Fiscal Year End (FYE) process. Prior to the beginning of a new fiscal year, the Index, PCA, Budget Unit and Organization Control tables are rolled forward into the coming fiscal year. Once this process is complete, the records for the oldest fiscal year are removed from the tables.

The Vendor Edit table is also purged as part of fiscal year end processing. However, the criteria for removing or retaining the records are different than for the other tables.

TABLE AND FILE PURGE - WHAT IS IT

File purges are processes for archiving information. The lives of accounting systems extend for many years. If data is not periodically archived, the sheer volume of data becomes unmanageable. Additionally, the on-line inquiry capabilities of STARS become less and less useful as each fiscal year is added. However, the old data may still need to be accessed for research, analysis, audit, or other purposes. Purging the files, allows continued access to current data while retaining access capabilities to the older data.

TABLE AND FILE PURGE - UNDERSTANDING THE BASICS

APPROPRIATION FILE

The Appropriation file is archived on an annual basis as part of fiscal year end processing. This occurs in July after STARS has closed. Two things considered for purging the data are the Trans Year (fiscal year) on the record and the System Management Table (SM) current effective date. When the purge process is run, any record with a Trans Year that is more than three years old is archived. Therefore, you always have on-line, adhoc query, and reporting capabilities for the current and prior fiscal years.

ALLOCATION FILE

The Allocation file is archived on an annual basis as part of fiscal year end processing. This occurs in July after STARS has closed. The two things considered for purging the data is the Trans Year (fiscal year) on the record and the System Management Table (SM) current effective date. When the purge process is run, any record with a Trans Year that is more than one year old is archived. Therefore, you have on-line, adhoc query, and reporting capabilities for the current fiscal year.

DOCUMENT FILE

The Document file is archived on an annual basis as part of fiscal year end processing. This occurs in July after STARS has closed. The purge programs look for any document/suffix that has a balance of zero and removes those records. Regardless of their age, documents will stay on file as long as they have a balance. You have on-line, adhoc query, and reporting capabilities for documents on the file without respect to their age.

GENERAL LEDGER FILE

The General Ledger file is archived on an annual basis as part of fiscal year end processing. This occurs in July after STARS has closed. The two things considered for purging the data is the Trans Year (fiscal year) on the record and the System Management Table (SM) current effective date. When the purge process is run, any record with a Trans Year that is more than three years old is archived. Therefore, you always have on-line, adhoc query, and reporting capabilities for the current and prior fiscal years.

SUBSIDIARY FILE

The Subsidiary file is archived on an annual basis as part of fiscal year end processing. This occurs in July after STARS has closed. The two things considered for purging the data is the Trans Year (fiscal year) on the record and the System Management Table (SM) current effective date. When the purge process is run, any record with a Trans Year that is more than three years

old is archived. Therefore, you always have on-line, adhoc query, and reporting capabilities for the current and prior fiscal years.

OPERATING FILE

The Operating file is archived on an annual basis as part of fiscal year end processing. This occurs in July after STARS has closed. The two things considered for purging the data is the Trans Year (fiscal year) on the record and the System Management Table (SM) current effective date. When the purge process is run, any records with a Trans Year that are more than three years old are archived. Therefore, you always have on-line, adhoc query, and reporting capabilities for the current and prior fiscal years.

VENDOR PAYMENT FILE

The Vendor Payment file is archived on an annual basis as part of fiscal year end processing. This occurs in July after STARS has closed. This file is unique because data must be retained for calendar year 1099 reporting in addition to fiscal year reporting. The two things considered for purging the data is the Trans Year (fiscal year) on the record and the System Management Table (SM) current effective date. When the purge process is run, any records with a Trans Year that is more than three years old is archived. You always have on-line, adhoc query, and reporting capabilities for the current and prior fiscal years.

WARRANT CONTROL AND WARRANT DETAIL FILES

The Warrant Control and Warrant Detail files are archived on a monthly basis. The D86, Purge Control table is updated by SCO Accounting Operations to indicate what records to archive. Based on status dates, the purge will only apply to redeemed and cancelled warrants. Outstanding warrants and stop pays are not purged. The warrant control and warrant detail records associated with redeemed and cancelled warrants that meet the selection criteria are purged.

HISTORY FILE

The History file is the audit trail for every transaction processed in STARS. There are no on-line inquiries for the History file. Also, there are very few reports created from this file. Mostly due to the volume of transactions, the file is purged on a monthly basis. The two things considered for purging the data are the effective date on the record and the System Management Table (SM) current effective date. When the purge process is run, all transactions with an effective date that is more than two months old is archived.

GRANT FILE

The Grant file is archived on an annual basis as part of fiscal year end processing. This occurs in July after STARS has closed. In order to purge grant financial information and the related Grant

Control table record, several criteria must be met. The purge program looks for the purge indicator (PI) on the grant control table and financial information in several files to determine if the records can be purged. (See the [GRANTS](#) chapter for more detail.) When the purge program runs, if the PI is “Y” (yes, purge) it looks to see if there are any documents in the Document File with a balance other than zero for the grant, any cash in the Cash control file for this grant/phase, or and general ledger accounts in the General Ledger file that have a balance associated with this grant/phase.

- 1) **Grant Purge Indicator Test** – the program looks at the grant control purge indicator field. If the purge indicator is ‘Y’ (purge grant/phase) on the Grant Control table the program will read the document file.
- 2) **Document and Cash Control File Test** – If a document exists that has a balance for the grant/phase, the purge selection criteria failed and the grant/phase will not be purged. If the document file does not have a balance, the program proceeds to interrogate the cash control file to see if there is a cash balance for that grant/phase. As cash balance may be at the grant level, or grant phase level depending on the cash control posting indicator on the grant control table. If phases are not posted, the grant cannot have a cash balance or the purge selection criteria will fail and the records will not be purged.
- 3) **General Ledger Test** – If both the document and cash control file tests pass, the program reads against the general ledger file to determine if there are any general ledger accounts with balances for the grant/phase. As with the cash control file, this can be at the grant or grant phase level depending on the GL post indicator on the grant control table. A balance in any general ledger account for the grant/phase will result in the failure of the purge selection criteria.

To summarize, in order for the grant financial information and related grant control table to be archived, there can be no document file, cash control file, or general ledger file balances associated with the grant or grant phase. If there are any failures they will be reported on the DAFR0221 Purge report.

PROJECT FILE

The Project file is archived on an annual basis as part of fiscal year end processing. This occurs in July after STARS has closed. (See the [PROJECTS](#) chapter for additional detail.) In order to purge project financial information and the related project control (PC) table records, two criteria must be met. The purge program looks for the purge indicator on the project control table to determine if the records have been selected to be purged. If the project control purge indicator is ‘Y’ (purge project/phase) the program will read the document file. If a document for the project/phase exists that has a balance, the purge selection criteria will fail. The cause of this failure will be indicated on the DAFR0220 purge report.

INDEX TABLE

The Index table is purged annually as part of fiscal year end processing. Prior to the beginning of a new fiscal year, the Index table is rolled forward into the coming fiscal year. Once this process is complete, the records for the oldest fiscal year are removed from the tables.

However, if there is a prior year encumbrance on the Document File, any structure related to the encumbrance will not be purged.

PCA TABLE

The PCA table is purged annually as part of fiscal year end processing. Prior to the beginning of a new fiscal year, the PCA table is rolled forward into the coming fiscal year. Once this process is complete, the records for the oldest fiscal year are removed from the tables.

However, if there is a prior year encumbrance on the Document File, any structure related to the encumbrance will not be purged.

BUDGET UNIT TABLE

The Budget Unit table is purged annually as part of fiscal year end processing. Prior to the beginning of a new fiscal year Budget Unit table is rolled forward into the coming fiscal year. Once this process is complete, the records for the oldest fiscal year are removed from the tables.

However, if there is a prior year encumbrance on the Document File, any structure related to the encumbrance will not be purged.

ORGANIZATION CONTROL TABLE

The Organization Control table is purged annually as part of fiscal year end processing. Prior to the beginning of a new fiscal year, the Organization Control table is rolled forward into the coming fiscal year. Once this process is complete, the records for the oldest fiscal year are removed from the tables.

VENDOR EDIT TABLE

The Vendor Edit table is also purged as part of fiscal year end processing. The vendor payment file for both the current and prior fiscal years are reviewed to determine if there were any payments made to the vendor in those time periods. If there are payments recorded, the vendor edit record will not be purged.

Additionally, the last process date on the Vendor Edit table record is reviewed. If there has been any activity to the table during the current or prior fiscal years, the record will not be purged.

BATCH LOG TABLE

The Batch Log Table stores batch header information to ensure a duplicate batch cannot process. The file is purged on a monthly basis and the same time the History File is purged. Prior to running the purge process, SCO updates the D60, Batch Control Log Purge Date table. Any records on the table with an effective date prior to the date on the D60 will be purged.

FILE PURGE - HOW TO ADJUST

Should you encounter failures in purge criteria for financial information relating to Grant/phase or Project/phase files; refer to the DAFR 0220 purge report. This report allows you to trouble shooting errors during the purge process, as no data will purge without meeting all criteria.

TABLE AND FILE PURGE - SOLVING COMMON PROBLEMS

The most common types of problems you might encounter are for the Grant and Project purges. Frequently there are balances in the document, general ledger, and/or cash control files so the data will not archive. Following is an explanation of how this might happen, and guidance on how you can correct the information so when the process is run, the data will be archived.

COMMON PROBLEMS – GRANT GENERAL LEDGER ACCOUNT BALANCES

- 1) Grant General Ledger Account Balances – Every transaction that processes in STARS posts to the General Ledger. However, you control if a grant/phase will be included on the record in the General Ledger. It is possible to have some transactions posted to the grant/phase level and others not posted at that level if the indicator is changed.
 - . If the balances showing in the General Ledger file are in the Equity category (GLs 3000-3999) you will need to contact SCO to assist you. If there are other GLs impacted you can remove those balances by first setting the Grant Control table GL post indicator to '1' or '2' (post to grant or grant phase level). Review transaction codes and choose one that post to those GLs. **WARNING:** Do not select a TC that will create a warrant. Create and post transactions for the amounts in the GLs. Once those transactions have processed, verify the GLs now have zero balances. Now you can set the GL post indicator on the Grant Control table back to '0' (do not post grant). **WARNING:** Do not process any other grant transactions during this adjustment process.

COMMON PROBLEMS – GRANT OR PROJECT DOCUMENT FILE BALANCES

- 2) Grant or Project Document File Balances – There are several reasons why a document has a balance on the file even if the grant or project is complete. For example, you could have recorded an encumbrance for the grant or project. When the encumbrance was paid it was for a lesser amount but you did not indicate that it was a 'final' payment. In this case the system will not fully liquidate the encumbrance so a balance remains. Another very common cause is when you have more than one suffix for a document. If you make a payment, or post a receipt and only one of the suffixes is referenced on the transaction

there will be a remaining balance in both suffixes even though the document in its entirety balances to zero.

- . To correct the document file balances you will need to review transactions to locate ones that post to the document file with the appropriate GL (for example 1502 for Due Froms). **WARNING:** Do not select a TC that will create a warrant. To fix receivable documents you can use either an adjusting entry, or enter a 'receipt' transaction against the document/suffix with the balance and simultaneously enter a reversing 'receipt' against the document/suffix with the negative balance. To correct an encumbrance you can simply enter a transaction to 'cancel' the encumbrance.

COMMON PROBLEMS – GRANT CASH CONTROL FILE BALANCE

- 3) Grant Cash Control File Balance – Generally if a grant/phase has a cash balance, one of two things has happened. You changed the Cash Control indicator on the Grant Control table after transactions had processed and posted at the grant/phase level. Or you accidentally processed cash transactions without a grant/phase or with an incorrect grant/phase.
 - . To adjust the cash balances you must first set the Grant Control indicator to the appropriate grant/phase level. Review transaction codes and choose one that will post to cash. Receipt type TCs such as a 439 or 440 are recommended. You will need to enter two different sets of transactions. The first set of transactions is to remove the cash at the grant/phase level in the Cash Control file. The next set of transactions is to add that same amount back only at the fund level. **Beware:** It is imperative that the first and second set of transactions net to zero. Enter transactions with the grant/phase to reverse the cash (439 R). Those transactions must process and post before you can continue. Once they have posted you can set the Grant Control posting indicator back to '0'. Now you can enter your second set of transactions to record the cash to the fund level. **WARNING:** Do not process any other grant transactions during this adjustment process.

TABLE AND FILE PURGE FORMS – HOW TO COMPLETE

GRANT AND PROJECT

Most agencies choose to flag their Grant Control and/or Project control records to be purged just before the end of the fiscal year. This is a logical point in time to do this since you are also setting up or changing structures for the coming fiscal year. However, you can have the purge indicator set to 'Y' (yes, purge) for the Grant or Project Control tables at any time during the year. If you do not have authorization to update your Grant and/or Project Control tables you can simply complete the Grant and/or Project Control table maintenance forms and submit them to SCO for input.

ALL OTHER TABLES

You do not have to take any action to have records from any tables except the Grant Control or Project Control tables. This is a fully automated process controlled by SCO.

TABLE AND FILE PURGE REPORTS – WHAT ARE THEY

GRANT AND PROJECT

You will receive a DAFR0220 Project Purge Report or a DAFR0221 Grant Purge report when the purge process is run. These reports are generated in a preliminary mode and a final mode. The Preliminary report shows you what will happen when the Final is run. By reviewing these reports you will know if you have grants or projects that have failed any of the selection criteria. The reports indicate what the failure was and also identify the record that needs to be fixed. You will also be able to see if you have accidentally marked a grant or project to be purged that should not be. With this information you have the opportunity to make any necessary corrections to ensure the outcome of the process is what you want.

OTHER FINANCIAL FILES

There are no other reports generated for purged transactions. The purge process is validated using financial reports for each file. For example the DAFR8040, Allocation Status by Fund Program and Object is used to determine data was purged correctly. SCO Accounting Operations staff performs this validation.

TABLES

There are no reports showing specifically what records were purged from the various tables. However, you can always request a listing of the existing records on the tables as follows:

DAFR6640 Organization Hierarchy (index)
DAFR6660 Program Hierarchy (pca)
DAFR8500 Index Code Table Listing
DAFR8540 Budget Unit Table Listing
DAFR8560 PCA Table Listing
DAFR8580 Project Control Table Listing
DAFR8590 Grant Control Table Listing
DAFR8660 Numeric Vendor Edit Table Listing
DAFR8670 Alpha Vendor Edit Table Listing